



UNIVERSITY OF WASHINGTON

OFFICE OF THE PRESIDENT

September 1, 2006

Mark A. Emmert, President

The Honorable Tom Coburn
United States Senate
Washington, DC 20510-3604

Dear Senator Coburn:

This is to provide you with a response to the queries you raised in your letter of July 27, 2006, regarding Congressional appropriations to the University of Washington (UW). We have interpreted Congressional appropriations to mean funds directed to the UW; therefore, this report does not include descriptions of the vast number of competitive grants we have been awarded by federal agencies, nor grants made to other institutions that made sub-grants to the UW.

The report is our best effort within the time frame you allotted. We believe it is comprehensive as to appropriations, though we may not have outlined fully all of the products and other outcomes that have resulted from the appropriations. We would like to provide supplementary information as it becomes available. We are proud of the research, training, and service that our faculty and students perform. We hope your interest in our research product will allow you an opportunity to visit our campus.

Our answers are in the order of your questions:

1. A list of directed appropriations and amounts received from Fiscal Years 2000-2006 is attached.
2. A summary of specific objectives or goals achieved with the help of these appropriations is incorporated into the attached listing.
3. Our institutional standards for quality and the measurement of outcomes are driven by the competitive nature of the United States' research enterprise. The University of Washington is a top competitor for federal research dollars. This means we meet and often exceed the highest standards set by the extremely competitive market of granting agencies. We would not be successful if we did not continue to produce the highest quality scholarship as measured by individual disciplines. The bulk of our annual research dollars (\$995.86 million in UW FY2005) is awarded through competition, and our faculty proposals are selected on the basis of their excellence and ability to perform. The same standards of performance are expected for the projects for which we seek directed funds. In

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fact, only those projects for which there are no competitive funds available and which meet the institutional standards for priority will be considered for directed funding.

4. A copy of our Presidential Guidance on Directed Appropriations is attached. We do not have a stated policy about partnering with other universities, although we often partner with other institutions on a regional or national basis to accomplish a large research initiative. These are most frequently competitive projects, but in some cases may have a pilot or demonstration aspect for a start-up period that may be started through a directed appropriation. We do not ask for the policies of our partners.
5. Effective stewardship of a large public institution requires consideration of all potential sources of financing. Only a portion of our funding is provided by the state of Washington, and we are compelled to develop other appropriate sources to carry out our tripartite mission of teaching, research, and service. While we have not engaged outside lobbyists to assist us with opportunities, we would not foreclose that avenue from consideration.
6. Working in concert with our Congressional delegation for the good of our state's citizens has been a very important part of our efforts. Over the past six years, our total of earmarked funds has been roughly \$49 million, while our total of competitive research funds has been roughly \$5.3 billion; thus, it is difficult to say that the contribution of earmarks has been substantive. However, in critical areas where we could not have gone forward without some help from our delegation (e.g., the federal contribution of \$12 million to a \$150 million total life sciences building), the earmarks have been exceedingly valuable to leverage the existing federal investment. In the case of the life sciences building, once we had the federal dollars for the building, philanthropic contributions followed and allowed us to complete the facility, which is used to carry out the research we do in partnership with the federal government through competitive programs.

I hope this is responsive to your inquiry. Again, I invite you to visit the University of Washington and experience the federal-university partnership at work.

Sincerely yours,



Mark A. Emmert
President

Enclosures

University of Washington Presidential Guidance on Directed Appropriations

The University of Washington supports scientific peer-review as the primary and preferred mechanism for allocating federal research support. However, in a small number of exceptional cases, the university will undertake efforts to secure directed funding ("earmarks") from Congress, particularly for compelling projects that fall outside the availability of peer reviewed sources.

1. The University will not seek directed funding from NSF, NIH, or any federal programs that support basic research and are clearly competitive and merit based in nature.
2. Principal Investigators (PIs) must be able to demonstrate that all possible competitive options for support - both public and private - have been fully investigated and no alternative competitive source is available. Failure to compete successfully does not meet this requirement.
3. Directed funds will not be requested for more than three years. Requests for directed funds must include clear evidence that the project is sustainable without an earmark after the three year period.
4. UW supported requests must have a compelling state or national interest and advance the strategic goals of the university as defined by the Provost.
5. There must be explicit evidence of support from the federal agency in whose budget the funding would be sought, and the project should fit within the mission of the targeted program in that agency.
6. The President/Provost reserves the right to decline any directed appropriations that are sought and approved by Congress without their prior knowledge/approval.

In accordance with the above policy, the UW will continue to seek, through its various Congressional interactions, increases in funding for competitive, merit based programs as the primary means of support for research, research facilities and instrumentation.